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### **3.9 Asset Trust Review, Independent Resource Assessment, and Medicare Catastrophic Coverage Act**

**Gender:** When referring to the Client, she/herself was used throughout Volume 4, SSM for simplicity. However, both genders, male and female, may receive benefits.

The Asset Trust Review and Independent Resource Assessment tasks are functions processed by Workgroup 4 Eligibility Specialists-Adult (ESA). The need for an Asset Trust Review is typically determined by an Eligibility Specialist in Workgroups 2, 3, or 12 when processing an application, re-determination, or change; an SEC or Arbor staff could also identify such a need. When the ES determines that an Asset/Trust Review is required, a task is created for Workgroup 4.

An Independent Resources Assessment (IRA) is different from an Asset/Trust Review in that an individual can request an IRA without having to file an Application for Assistance. An IRA is completed for individuals who are married and one of the individuals, referred to as a “community spouse”, is living in the community. The other, referred to as an “institutional spouse” is either living in or plans to live in an institution, typically a nursing home, and wants to find out if the spouse in the institution may be eligible for Medicaid coverage through the Medicare Catastrophic Coverage Act (MCCA) program.

An IRA is done to determine the spousal share of income and resources for the community and institutional spouse and is later used to determine the eligibility for the MCCA program, if an application is submitted. However, for the individual to appeal the way Assets/resources and income are counted or the amount of which is counted, the individual must apply for Medicaid benefits. The information gathered in the IRA is used to determine eligibility for the MCCA program coverage.

#### **3.9.1 Overview of Asset Trust Review**

The Asset/Trust Review Work Instructions describe handling of specialized tasks to review the Assets or Trusts of an applicant or Client.


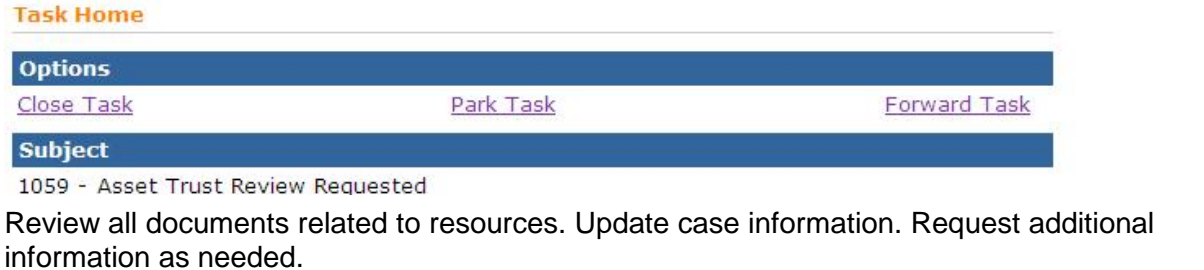
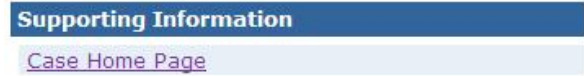
The purpose of an Asset/Trust Data Collection Review is to verify if an individual's Assets and/or Trusts are an available resource and to determine the impact of these resources on eligibility for assistance.

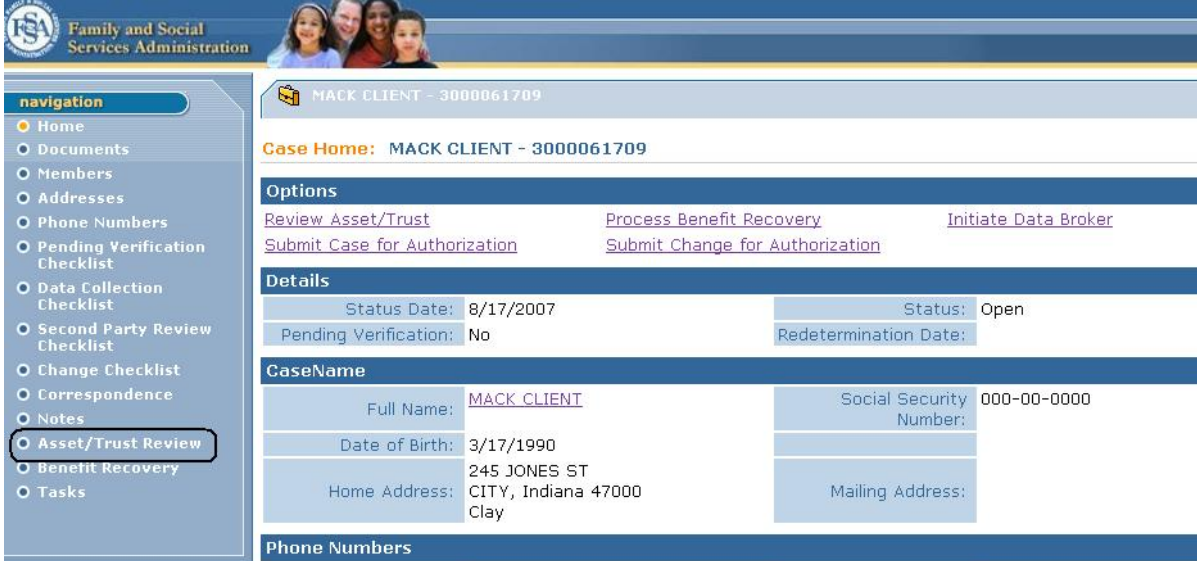
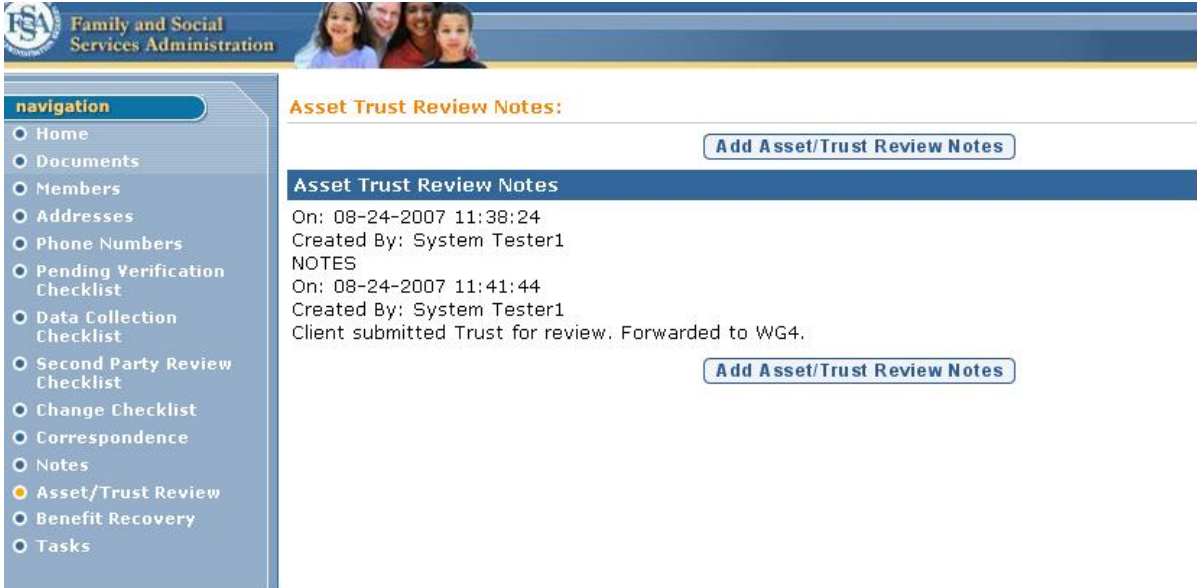
If a Client reports an Asset and/or Trust which exceed the resource guidelines allowed by policy, then a review is necessary to determine if the Asset/Trust is an available resource. The WG 4 ESA reads the Trust thoroughly and determines if funds can be removed from the Trust, consistent with policy. The ESA verifies the availability of the Trust by reading the documents, schedules, attachments, and any additional documentation to identify payments or deductions made from the Trust.

If an Asset/Trust is beyond the scope of knowledge and understanding for the ESA in WG 4, the Asset/Trust Review Requested task is forwarded to the coach, and if necessary, the coach forwards the task to the ACS Policy Unit using the completed Policy Interpretation Request form, which is attached to the case.

### 3.9.1.1 Conducting an Asset/Trust Data Collection Review

If an individual reports that there is an Asset/Trust, then a review is necessary to determine if the Asset/Trust is an available resource. The Asset/Trust Review Requested task is created for WG 4, and the verifications submitted are reviewed before the State Review and Eligibility Determination task is sent to the SEC.

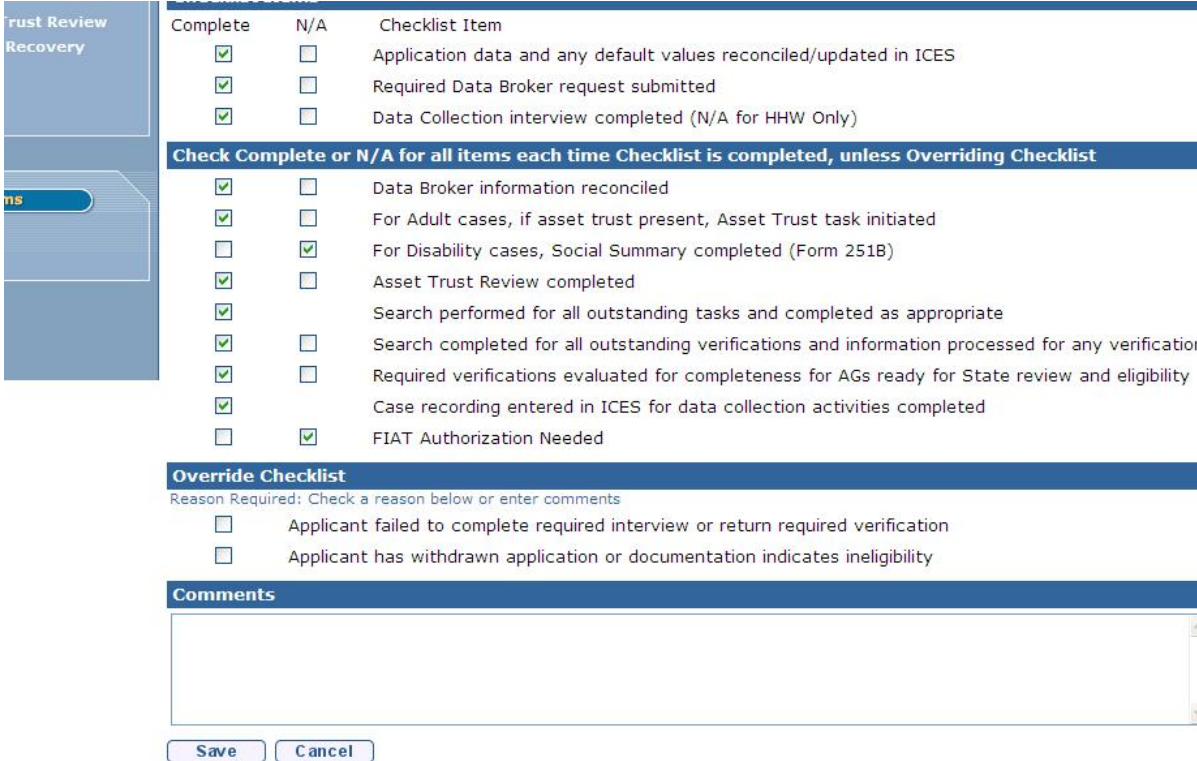
Step	Conducting an Asset/Trust Data Collection Review
1.	<p>From the WFMS User Home page, click the <i>Task</i> shown under My Tasks.</p> 
2.	<p>The Task Home page displays. View the Primary Action and Task Instructions.</p> 
3.	<p>After reviewing, click <i>Case Home</i> page under the Supporting Information section.</p> 

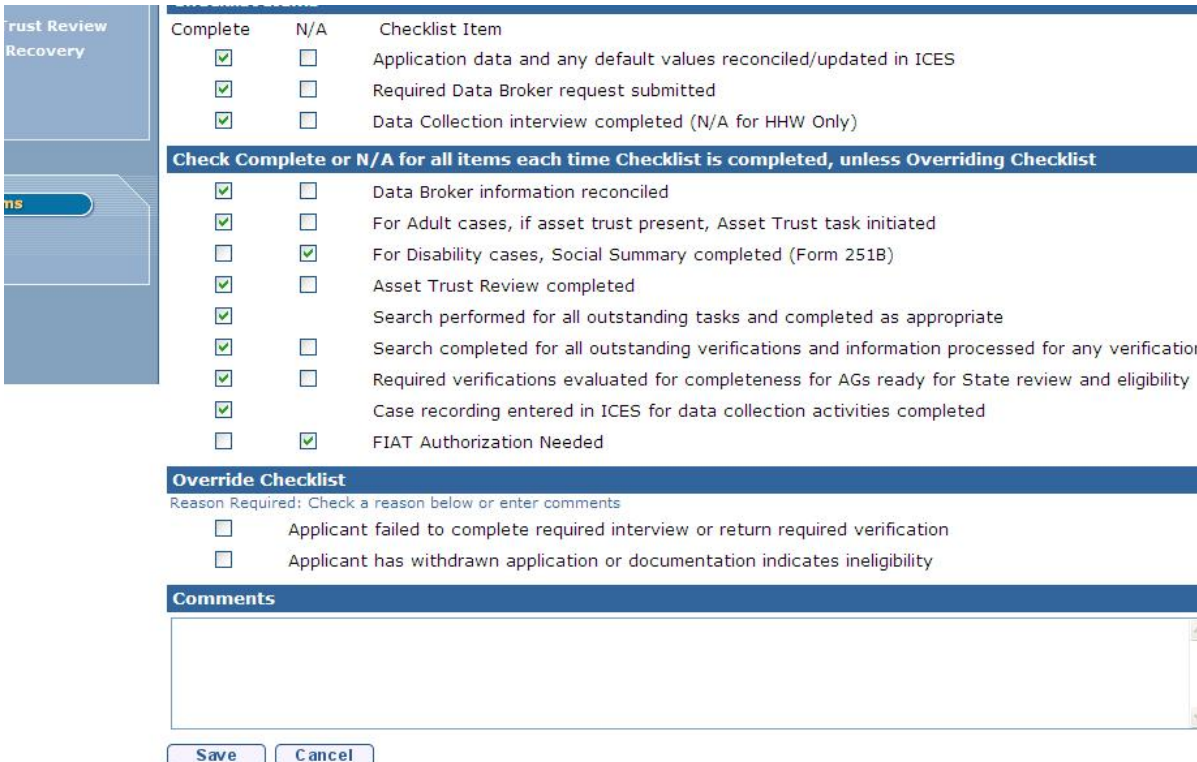


Step	Conducting an Asset/Trust Data Collection Review
4.	<p>Click <i>Asset/Trust Review</i> from the left Navigation bar.</p> 
5.	<p>Review the Asset/Trust Review History notes. See the example below.</p> 

Step	Conducting an Asset/Trust Data Collection Review
6.	<p>Review ICES notes in CLRC:</p> <pre> NEXT TRAN: clrc___  PARMS: CASE NUMBER_____  CLRC                                RUNNING RECORD COMMENTS          08/30/07 13:14                                       T49706 S REFM/BEAS  COMMENTS TYPE: GENERAL COUNTY: 72  CASE: 2000060695  INITIAL CONTACT: MA  KETTLE  ENTERED  USERID                      COMMENTS 08/30/07  T49706  Applicant has applied for benefits, she has several accounts                     May be over resource, Asset/Trust Review Requested._____ </pre>
7.	<ul style="list-style-type: none"> <li>✓ Go to AEIDC and view the codes for living type and marital status. Determine whether the review is being requested for a person who is single or married.</li> <li>✓ If Living Type is institutional (04) and the person is married, go to <a href="#">Section 3.9.3, Medicare Catastrophic Coverage Act (MCCA)</a> &lt;insert hyperlink&gt;</li> <li>✓ Otherwise, continue processing using the following steps.</li> </ul> <pre> AEIDC                                INDIVIDUAL DEMOGRAPHICS CONTINUED          08/28/07 14:01 COUNTY: 72  CASE: 2000060695  WORKER: W72011          T49706 S REFM/BEAS LAST ACTIVITY DATE: 08/28/07  STATUS: OPEN                                  -OUT OF STATE ASSISTANCE-  NBR NAME    LIV---OCCUR---          COUNTS          MAR    OCCUR          ---SSI---             TYPE  DATE  VR  PROG  TO 60  END DTE VR  STAT  DATE  VR  ST  DAT  03 PA      K 04 03/06/07 CS N _ _  N  _____ CS  MA  05/01/07 CS  N  _____ 02 MA      K 01 05/05/00 CS N _ _  N  _____ MA  05/01/07 CS  N  _____ </pre>

Step	Conducting an Asset/Trust Data Collection Review
8.	<p>Go to ICES screen AERLA and enter the Trust or other resource information, such as:</p> <ul style="list-style-type: none"> <li>✓ Who has the Trust or other resource</li> <li>✓ The Resource Type (this information is carried forward from ICES screen AERRQ if entered by the previous workgroup that created the Asset/Trust Review Requested task)</li> <li>✓ The Account Number of the resource</li> <li>✓ Begin Date of the resource</li> <li>✓ End Date, if applicable</li> <li>✓ Amount of the resource (if the Client is unsure, enter the Client's best estimate and confirm with documents)</li> <li>✓ The Verification Type (if the Client does not have verifications, enter a question mark. This will notify the worker that additional documents are needed confirm resources.)</li> <li>✓ If the resource is available, enter 'Y' in the AV? Field. If the ESA is unsure if the resource is available, enter a '?'.</li> <li>✓ If the resource is jointly owned, enter 'Y'.</li> </ul> <p><b>NEXT TRAN: aerla__ PARMS: 2000060695_</b></p> <pre> AERLA                LIQUID RESOURCES                08/30/07 13:16 COUNTY: 72    CASE: 2000060695    WORKER: W72011    T49706 S REFM/B LAST ACTIVITY DATE: 08/30/07    STATUS: OPEN  TYPES:  --OWNER--- NBR  NAME  DC  TYPE  NBR      BEGIN   END      TOTAL   JOINTLY       NAME  DC  TYPE  NBR      DATE    DATE    AMOUNT  VR  AV?  VR  OWNED? 02 MA   K   _   CH  PEOPLES_  08/01/07  _      200.00 BS  Y  BS  Y 02 MA   K   _   BA   _      01/01/01  _     1000.00 HC  N  HC  N 02 MA   K   _   TR  LUMP SUM_  01/01/07  07/31/07 2000.00 HC  Y  HC  N 03 PA   K   _   CH  PEOPLES_  08/01/07  _      200.00 BS  Y  BS  Y </pre>
9.	Click <i>Documents</i> from the left Navigation bar.
10.	Review any documents received related to the applicant's Assets and/or Trust.
11.	If there are any documents that were received that verify the Assets/Trusts the individual has, then update the appropriate ICES screens such as AERRQ, AERLA, AERLI, AERRP, etc. to make sure that the correct resources are used when the State determines eligibility.
12.	After updating all the appropriate ICES screens related to the Asset/Trust, run AEABC.
13.	If there is no additional information needed to complete the task, skip to Step 17. If additional information is needed to complete the task, go to the next step.
14.	Review what information is still needed using screen AEPND in ICES and return to WFMS to complete a Pending Notice for the applicant/Client.
15.	From the Case Home page in WFMS, select <i>Correspondence</i> from the left Navigation bar. Refer to <a href="#">Section 3.11.4, Sending Notices &lt;insert hyperlink&gt;</a> to process the request for additional information.



Step	Conducting an Asset/Trust Data Collection Review
16.	After requesting the additional information, return to ICES and update the case record comments using CLRC.
17.	<p data-bbox="321 327 1511 390">In ICES, enter 'CLRC' into the NEXT TRAN field and the ICES Case Number in the PARMS field.</p> <div data-bbox="321 401 1511 842"> <p data-bbox="337 432 1403 478">NEXT TRAN: clrc____ PARMS: CASE NUMBER_____</p> <p data-bbox="326 495 1511 548">CLRC RUNNING RECORD COMMENTS 08/30/07 08:52 T49706 S REFM/BEAS</p> <p data-bbox="326 554 1182 611">COMMENTS TYPE: GENERAL COUNTY: 72 CASE: 2000060695 INITIAL CONTACT: MA KETTLER</p> <p data-bbox="326 646 1511 804">ENTERED USERID COMMENTS 08/30/07 T49706 Reviewed submitted documents from applicant. Received bank statements, and trust from family member. Resources have been verified. Review complete and Data Collection Checklist is updated. Ready for Second Party Review._____</p> </div> <ul data-bbox="321 856 1503 1226" style="list-style-type: none"> <li>✓ In the COMMENTS section of CLRC, make sure to include all information related to the actions taken to complete the Asset/Trust review.</li> <li>✓ If no additional information was requested, complete Comments, copy the comments from CLRC, and paste them into WFMS Asset Trust Review Notes. Go to Step 18.</li> <li>✓ If additional information was requested, include what was requested, when the information is due back, and when the information was requested.</li> <li>✓ Copy the comments from CLRC so that they can be pasted into WFMS Asset Trust Review Notes.</li> <li>✓ Paste into WFMS Asset Trust Review Notes, and go to Task Home and Close the Task.</li> </ul>

Step	Conducting an Asset/Trust Data Collection Review
18.	<p>If no additional information is needed to complete the task, return to the Case Home page in WFMS, and from the left Navigation bar, select the <i>Data Collection Checklist</i>.</p>  <p><b>Complete      N/A      Checklist Item</b></p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Application data and any default values reconciled/updated in ICES</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Required Data Broker request submitted</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Data Collection interview completed (N/A for HHW Only)</p> <p><b>Check Complete or N/A for all items each time Checklist is completed, unless Overriding Checklist</b></p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Data Broker information reconciled</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> For Adult cases, if asset trust present, Asset Trust task initiated</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> For Disability cases, Social Summary completed (Form 251B)</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Asset Trust Review completed</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Search performed for all outstanding tasks and completed as appropriate</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Search completed for all outstanding verifications and information processed for any verification</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Required verifications evaluated for completeness for AGs ready for State review and eligibility</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Case recording entered in ICES for data collection activities completed</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> FIAT Authorization Needed</p> <p><b>Override Checklist</b></p> <p>Reason Required: Check a reason below or enter comments</p> <p><input type="checkbox"/> Applicant failed to complete required interview or return required verification</p> <p><input type="checkbox"/> Applicant has withdrawn application or documentation indicates ineligibility</p> <p><b>Comments</b></p> <p><input type="text"/></p> <p><input type="button" value="Save"/> <input type="button" value="Cancel"/></p>
19.	<p>Complete the Data Collection Checklist. Make sure to indicate that the Asset/Trust Review [is] completed.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Asset Trust Review completed</p>

Step	Conducting an Asset/Trust Data Collection Review
20.	<p>If all the other items on the Data Collection Checklist have been completed, then mark the Checklist is Complete. This generates a task for Second Party Review in WG11 to complete a Second Party Review on the case, since it is associated with Adult Medicaid.</p> 
21.	<p>To add notes, click <i>Add Asset/Trust Review Notes</i>, enter the notes, and click <i>Save</i>. Notes previously entered in CLRC can be copied and pasted into WFMS.</p> 
22.	<p>If the Checklist is not complete because another work group still has tasks outstanding for this application/case, then go to Task Home and click <i>Close Task</i>.</p> 
23.	<p>From the My Tasks cluster on the User Home page, select the next task available.</p>

### 3.9.1.2 Escalate Policy Interpretation Questions Regarding Asset/Trust Data Collection Review


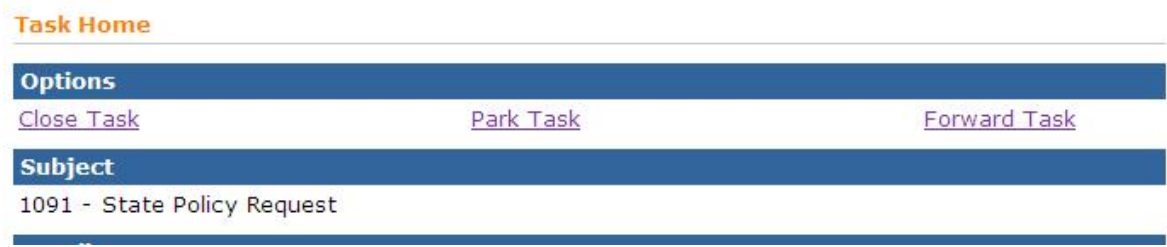
While processing an Asset/Trust Review Requested task, the information received is beyond the ESA's scope of understanding. In this situation, the task should be forwarded to the coach and if required, to the ACS Policy Unit to review the availability of the Asset or Trust or resolve the issue in question.

Step	Escalate Policy Interpretation Questions Regarding Asset/Trust Data Collection Review
1.	If you are unable to determine whether the Asset/Trust is an available resource or if the situation is so complex that you need to escalate the task, complete the Policy Interpretation Request/Response form. Refer to <a href="#">Section 3.11.4, Sending Notices, Create Correspondence from the File Server &lt;insert hyperlink&gt;</a> instructions, attach it to the case, and forward the task for review by the coach. The coach determines whether further escalation is necessary, and if so, creates a user defined ACS Policy Request task for the ACS Policy Unit.
2.	Document in ICES/CLRC any action taken.  <p>CLRC RUNNING RECORD COMMENTS 08/30/07 15:26 T49706 S REFM/E</p> <p>COMMENTS TYPE: GENERAL COUNTY: 72 CASE: 2000060695 INITIAL CONTACT: MA KETTLE</p> <p>ENTERED USERID COMMENTS 08/30/07 T49706 Received task for Asset/Trust Review Requested,after reviewing the documents,will forward task to Coach. Policy Interpretation Request/Response has been created and attached to the case for Coach to review.</p>
3.	Return to the Task Home and close the task. Retrieve another task from the queue.  <p>Task Home ?</p> <p>Options</p> <p>Close Task Park Task Forward Task</p>

### 3.9.1.3 Response is Received from the Coach, ACS Policy Unit, or State Policy

When a policy interpretation is requested by Workgroup 4 and a response is received from the ACS Policy Unit, an ACS Policy Unit Response task is received in the queue and processed by Workgroup 4. If the policy question has been escalated by the ACS Policy Unit to the State, a State Policy Response is received by the ACS Policy Unit and then forwarded to the queue for Workgroup 4 to complete processing using the clarification/instructions provided.

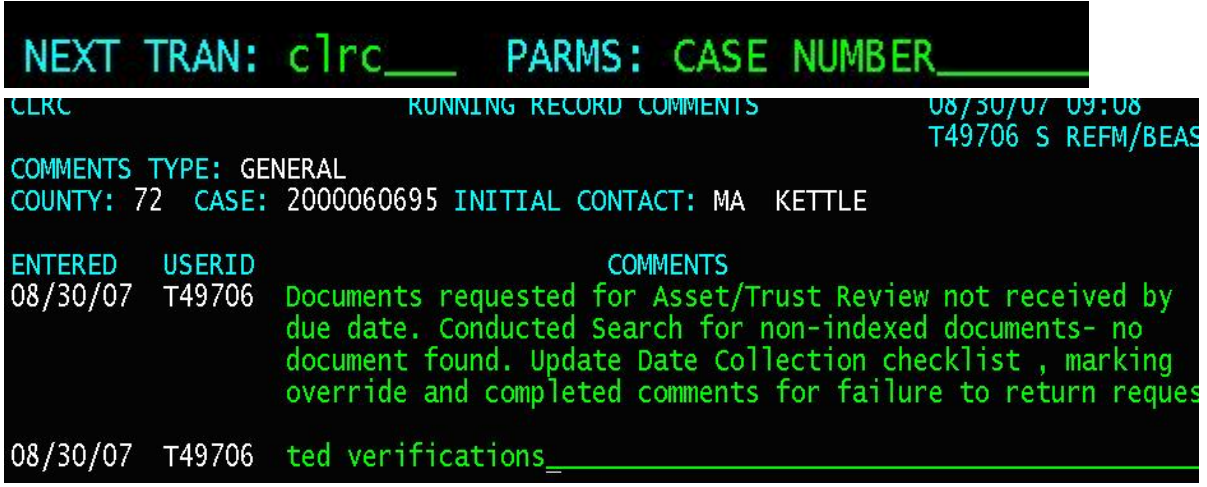
Step	Response Received from the Coach, ACS Policy Unit or the State Policy Unit
1.	From the User Home page in WFMS, select the next available task from the My Tasks Cluster.

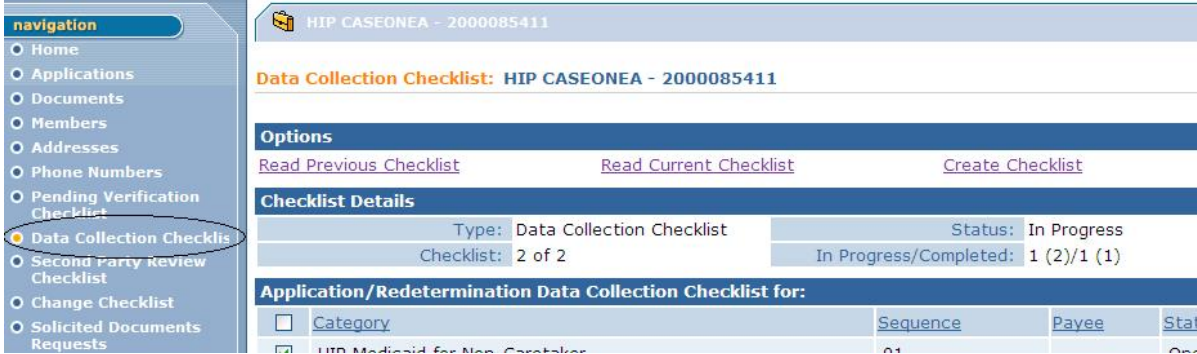
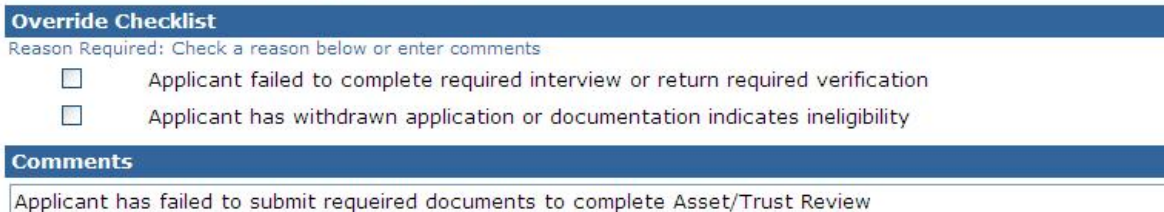

Step	Response Received from the Coach, ACS Policy Unit or the State Policy Unit
2.	<p>Review the Task Subject, Primary Action, and Task Instructions.</p> <p><u>Response Received from ACS Policy Unit:</u></p>  <p>Primary Action is: ACS Policy Unit Response.</p> <p>Task Instruction is: Review the response from the ACS Policy Help Desk. If no additional information is required, make any appropriate changes to the WFMS and ICES. If additional information is needed to finish processing, send a request for verification to the applicant(s)/Client(s).</p> <p>Or</p> <p><u>Response Received from State Policy</u></p>  <p>Primary Action is: State Policy Response.</p> <p>Task Instructions are: Review the response from State Policy. Send results back to the ACS Policy Unit or State SEM.</p>
3.	From the Supporting Information cluster, select the link to the <i>Case Home</i> page.
4.	When the Case Home page appears, select <i>Documents</i> from the left Navigation bar.
5.	Select the <i>Policy Interpretation Request/Response</i> document from the ACS Policy Unit.
6.	After reviewing the response contained in the document from the ACS Policy Unit, go to ICES and update the information on the appropriate resources related to the Asset/Trust review that was originally received.
7.	After all the screens have been updated, run AEABC.
8.	<p>Update the ICES case record comments using CLRC.</p> <p>To access CLRC either use <b>PF4</b> from the screen that is open in ICES or use 'CLRC' in the</p>

Step	Response Received from the Coach, ACS Policy Unit or the State Policy Unit									
	<p>NEXT TRAN field and the ICES Case Number in the PARMS field.</p> <div><div>T49706 S REFM/BEAS</div><div>COMMENTS TYPE: GENERAL COUNTY: 72 CASE: 2000060695 INITIAL CONTACT: MA KETTLE</div><table><thead><tr><th>ENTERED</th><th>USERID</th><th>COMMENTS</th></tr></thead><tbody><tr><td>08/30/07</td><td>T49706</td><td>Trust Fund documentation sent to Coach and then onto Policy Unit has been returned with response. Since Trust fund was established before certain date , trust is treated differently for Medicaid purposes. Reviewed Trust documentation again.</td></tr><tr><td>08/30/07</td><td>T49706</td><td>for date and then updated AERLA and ran aeabc. Data Collection Checklist updated and case sent to Second Party Review.</td></tr></tbody></table></div> <p>Make sure to include all information related to the Asset/Trust review, the information received from the ACS Policy Unit, and the information used to update the case after the response was received from the ACS Policy Unit.</p>	ENTERED	USERID	COMMENTS	08/30/07	T49706	Trust Fund documentation sent to Coach and then onto Policy Unit has been returned with response. Since Trust fund was established before certain date , trust is treated differently for Medicaid purposes. Reviewed Trust documentation again.	08/30/07	T49706	for date and then updated AERLA and ran aeabc. Data Collection Checklist updated and case sent to Second Party Review.
ENTERED	USERID	COMMENTS								
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08/30/07	T49706	for date and then updated AERLA and ran aeabc. Data Collection Checklist updated and case sent to Second Party Review.								
9.	Return to WFMS and select the <i>Data Collection Checklist</i> from the left Navigation bar.									
10.	Complete the check list, and make sure to indicate that the Asset/Trust review is complete. This triggers a task to an SEC to Review for Eligibility Determination.									
11.	Return to WFMS, and from the Task Home page, select <i>Close Task</i> .									

### 3.9.1.4 Documents Requested for Asset/Trust Review Not Received

The Solicited Documents Not Received by Due Date task is received from the work queue. Review the task. The information needed to finish the task has been requested on the State Form 2032: *Pending Verifications for Applicants/Recipients*, but has not been received.

Step	Documents Requested for the Asset/Trust Review Not Received
1.	From the User Home page, select the next task available from the My Tasks cluster.
2.	Review the Primary Actions and Task Instructions: Primary Action is Solicited Documents Not Received by Due Date. Task Instructions are to search for a missing verification document in the repository of unidentified documents.
3.	From the Supporting Information cluster, select the <i>Case Home</i> page link.
4.	Using the work instructions for Process Solicited Documents for Partial or Not Received Documents Refer to <a href="#">Section 3.11.5, Processing Solicited Documents &lt;insert hyperlink&gt;</a> to process the task received.
5.	From ICES, run AEABC and then go into CLRC and update the case record Comments.
6.	<p>To access CLRC use 'CLRC' in the NEXT TRAN field and ICES Case Number in PARMS or use <b>PF4</b> from the ICES screen that is currently displayed.</p>  <p>Make sure to include all information related to the Asset/Trust review task, what documents were not received, the task related to the documents that were not received, and all actions taken to finish processing the task and the Asset/Trust review.</p>
7.	Copy the comments so that they can be pasted into WFMS Asset Trust Notes.

Step	Documents Requested for the Asset/Trust Review Not Received
8.	<p>Return to WFMS and from the Case Home page, select the <i>Data Collection Checklist</i> from the left Navigation bar.</p> 
9.	<p>Since the verifications that were requested were not returned by the Client, go to the Override Checklist cluster and select <i>Applicant failed to complete required interview or return required verification</i>. Enter Comments and select <i>Save</i>.</p> 
10.	<p>Return to the Task Home and click <i>Close Task</i>. Retrieve another task from the queue.</p> 

### 3.9.2 Independent Resource Assessment

An Independent Resources Assessment (IRA) is different from an Asset/Trust Review in that an individual can request an IRA without having to file an Application for Assistance.

An IRA is completed for individuals who are married and one of the individuals, referred to as a “community spouse”, is living in the community and the other, referred to as an “institutional spouse” is either living or plans on living in an institution, typically a nursing home, and wants to find out if the spouse in the institution may be eligible for Medicaid coverage through the Medicare Catastrophic Coverage Act (MCCA) program.



An IRA is done to determine the spousal share of income and resources for the community and institutional spouse and is later used to determine the eligibility for the MCCA program if an application is submitted. However, in order for the individual to appeal the way Assets/resources and income are counted or the amount of which is counted, the individual



must apply for Medicaid benefits. The information gathered in the IRA will be used to determine eligibility for the MCCA program coverage.

### 3.9.2.1 Independent Resource Assessment Requested

An individual can contact the FSSA in a variety of ways to request an Independent Resource Assessment (IRA). Once the request is received, an ESA in WG 4 sends the individual State Form 2060: Independent Resource Assessment for Medicaid for the Aged, Blind, or Disabled along with a State Form 2032: Pending Verifications for Applicants/Recipients to the individual who requested the IRA.

Step	Process an Independent Resource Assessment Request
1.	<p>From the WFMS User Home page or Task Home page retrieve the task Independent Resource Assessment Request. This task can be generated by one of the four following ways:</p> <ul style="list-style-type: none"> <li>✓ WG8 EA for request received via unsolicited, non-indexed document</li> <li>✓ Call Center user for request received via phone call</li> <li>✓ Help Center user</li> <li>✓ FSSA user</li> </ul> <p>If the task was received from a WG 8 EA from a Non-Indexed Document, follow the instructions in the Manage Documents Work Instructions. Refer to <a href="#">Section 3.11.2, Document Management &lt;insert hyperlink&gt;</a> for processing non-indexed, unsolicited documents and then return to these instructions at Step 2.</p>
2.	<p><b>Primary Action</b></p> <p>The Primary Action is Independent Resource Assessment Request</p> <p><b>Task Instructions</b></p> <p>The Tasks instructions are to perform an independent resource assessment.</p>
3.	<p>After reviewing, return to the User Home page and select Create an Application. Use the Manage Application Work Instructions (refer to <a href="#">Section 3.5, Processing an Application Part I and Part II &lt;insert hyperlink&gt;</a>) for creating an application case in WFMS.</p>
4.	<p>When selecting the Application Type, use the drop-down box and select <i>Resource Assessment</i>.</p>
5.	<p>Complete the creation of the application, but do not select Submit to AR after the application is created in WFMS until an individual submits all verifications needed to complete the IRA.</p>

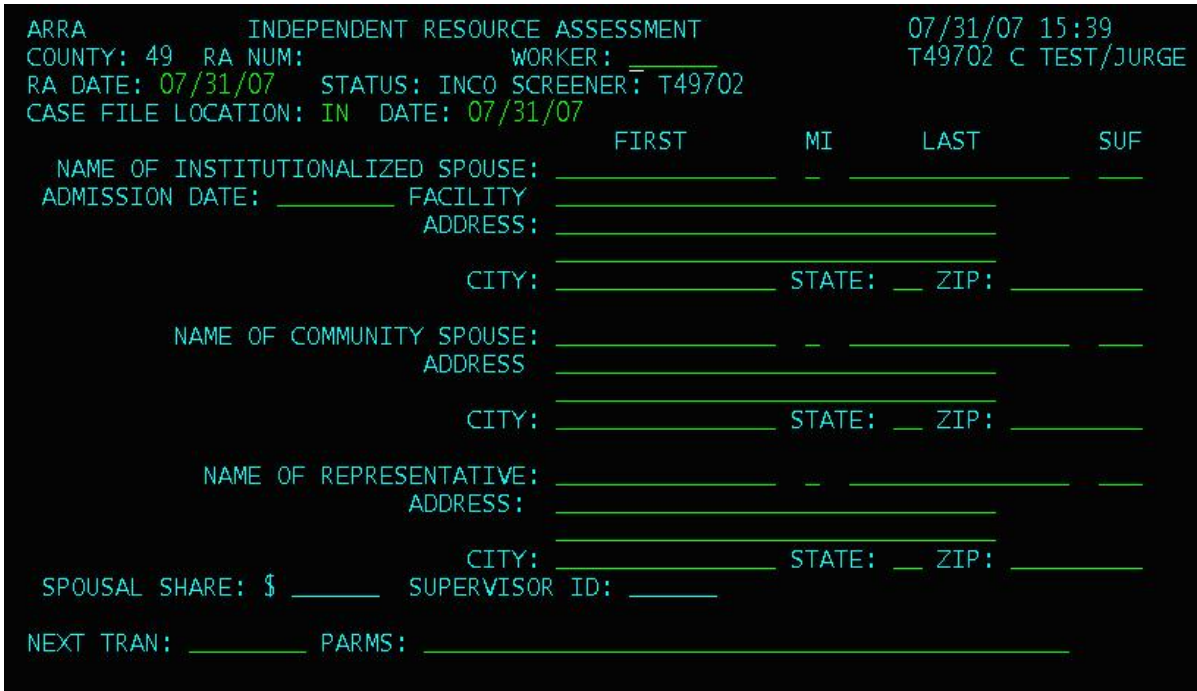
Step	Process an Independent Resource Assessment Request
6.	<p>From the Case Home page, click <i>Notes</i> from Left Navigation.</p> 
7.	<p>Document any information necessary for the Independent Resource Assessment to be processed by WG 4 by creating a Note.</p>  <p>After entering the Notes, click the <i>Save</i> button.</p> <p>The Case Home page displays again.</p>
8.	<p>From WFMS, send State Form 2060: Independent Resource Assessment for Medicaid for the Aged, Blind, or Disabled along with a State Form 2032: Pending Verifications for Applicants/Recipients to the individual who requested the IRA.</p> <p>Use the Send Notice Work Instructions (refer to <a href="#">Section 3.11.4, Sending Notices &lt;insert hyperlink&gt;</a>) for creating this correspondence.</p>

Step	Process an Independent Resource Assessment Request
9.	<p>From the Case Home page select <i>Notes</i> from the left Navigation bar.</p> 
10.	<p>Update the Application Case notes with all the information related to the task and all actions taken to complete the task.</p>  <p>Select Save when the notes are updated.</p>
11.	<p>Return to the Task Home page in WFMS and close the task. Retrieve the next available task.</p>

### 3.9.2.2 Independent Resource Assessment Received

To complete an IRA the requesting individual needs to submit the completed *Resource Assessment for Medical Assistance to the Aged, Blind, and Disabled* (State Form 2060) along with all the verifications of resources necessary to determine potential eligibility. The ESA will

use State Form 2061 to process the resources that were submitted. However, the IRA does not have an application associated with it so AEABC will not be run and the case will not be submitted for Review of Eligibility Determination to the State. It is simply a way for the individual to determine if he/she may potentially be eligible for the MCCA program.

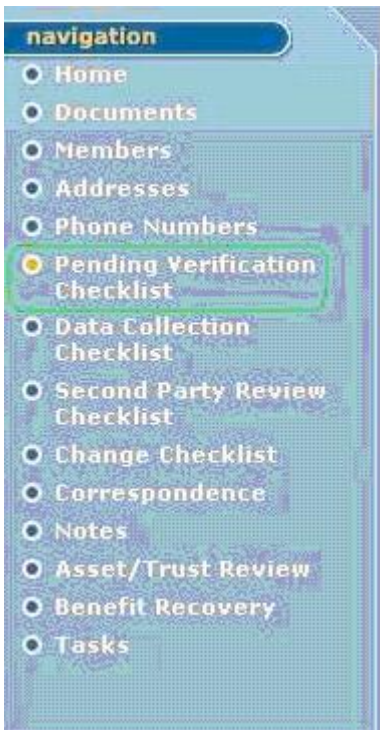
Step	Process a Resource Assessment
1.	In WFMS from the User Home page retrieve the task for Solicited Documents Received. Select the task and the Task Home page will display next.
2.	Follow the instructions in the Process Solicited Document Work Instructions. Refer to <a href="#">Section 3.11.5, Processing Solicited Documents &lt;insert hyperlink&gt;</a> . After following the instructions return to this task and begin at Step 3.
3.	After reviewing the documents determine if all the necessary information has been submitted in order to complete the processing of the IRA. Go into ICES and complete the Independent Resource Assessment Registration.
4.	<p>In ICES access the INDEPENDENT RESOURCE ASSESSMENT screen ARRA by entering in 'ARRA' in the NEXT TRAN field and pressing <b>Enter</b> (nothing is needed in the PARMS field as there is no application).</p>  <p><b>Note:</b> Complete this screen to register in ICES that an IRA has been requested and the resources that have been submitted have been processed by an ESA in WG 4.</p>

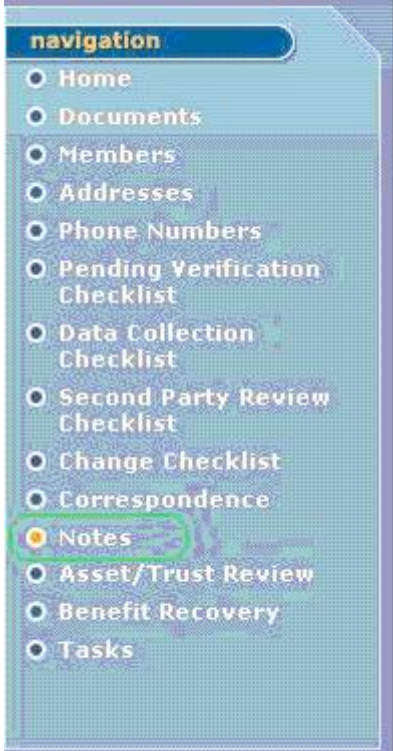
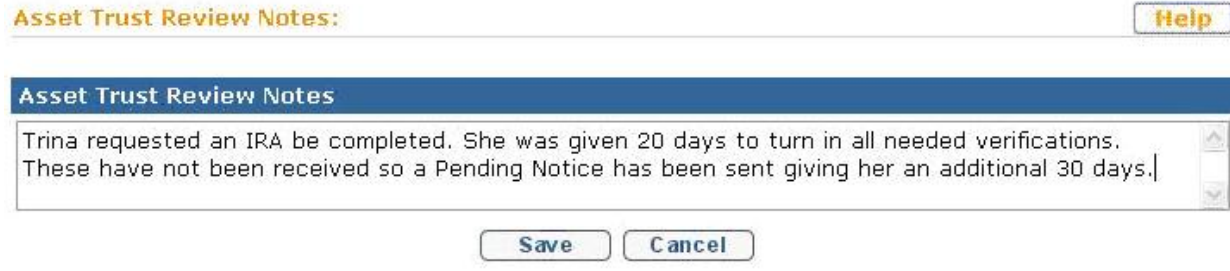
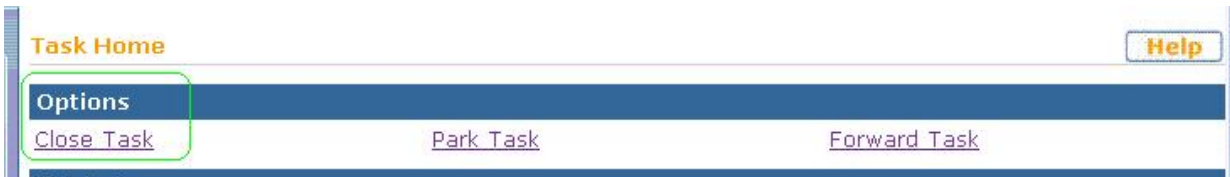
Step	Process a Resource Assessment
5.	<p>Screen ARRA will display. Complete all necessary fields with the information provided from the documents received with the IRA form.</p> <pre> ARRA                INDEPENDENT RESOURCE ASSESSMENT                07/31/07 15:41 COUNTY: 49  RA NUM: 3000340616  WORKER: T49702                T49702 C TEST/JURGE RA DATE: 06/08/07  STATUS: INCO  SCREENER: T49702 CASE FILE LOCATION: IN  DATE: 06/08/07  NAME OF INSTITUTIONALIZED SPOUSE: DWIGHT_____  K  SHRUTE_____  _____ ADMISSION DATE: 05/13/07  FACILITY: REGENCY PLACE_____ ADDRESS: 2333 SCRANTON DR._____  CITY: INDIANAPOLIS_____  STATE: IN  ZIP: 46202_____  NAME OF COMMUNITY SPOUSE: ANGELA_____  K  SHRUTE_____  _____ ADDRESS 4519 DUNDER DR._____  CITY: INDIANAPOLIS_____  STATE: IN  ZIP: 46204_____  NAME OF REPRESENTATIVE: _____  -  _____  _____ ADDRESS: _____  CITY: _____  STATE: _____  ZIP: _____  SPOUSAL SHARE: \$ _____  SUPERVISOR ID: _____ PF17: ARIR  PF18: ARIS  PF19: ARCR NEXT TRAN: _____  PARMS: _____ </pre>
6.	<p>Once ARRA is complete, use <b>PF17</b> to go to the next screen in ICES. Screen ARIR: INDIVIDUAL REGISTRATION will display.</p> <pre> ARIR                INDIVIDUAL REGISTRATION                07/31/07 15:43 COUNTY: 49  RA  NUMBER: 3000340616  RA  DATE: 06/08/07  T49702 C TEST/JURGE STATUS: INCO  DEL  FIRST  MI  LAST  SUF  SSN  DOB  S  R  NOTICE ___ ANGELA_____  K  SHRUTE_____  _____  042424242  05021931  F  W  - ___ DWIGHT_____  K  SHRUTE_____  _____  024242424  10251929  M  W  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - ___ _____  -  _____  _____  _____  _____  -  -  - PF17: ARRA  PF18: ARIS  PF19: ARCR NEXT TRAN: _____  PARMS: _____ </pre>
7.	<p>Once ARIR is complete, the driver will go through clearance as though a new application is being entered into the system.</p>



Step	Process a Resource Assessment
8.	<p>After all the resource screens have been updated with the information provided by the requesting individual, update the case record Comments.</p> <p>To enter Running Record Comments on the ICES CLRC screen:</p> <ul style="list-style-type: none"> <li>✓ In NEXT TRAN, enter 'CLRC'.</li> <li>✓ In PARMS, enter the ICES Case Number and press <b>Enter</b>.</li> </ul> <p><b>NEXT TRAN: CLRC_____ PARMS: 3000076384_____</b></p> <p>Or, if currently in the ICES case, use <b>PF4</b> to automatically go to CLRC.</p>
9.	<p>The Running Record Comments should now display.</p> <pre> CLRC                                RUNNING RECORD COMMENTS                08/03/07 14:29  T49702 C TEST/JURGE  COMMENTS TYPE: GENERAL COUNTY: 49 CASE: 3000353437 INITIAL CONTACT: MEG M FAKECLIENT  ENTERED  USERID  COMMENTS 08/03/07  T49702  Received a request for an Independent Resource Assessment                   today for the Fakeclients. Sent form 2060 to Meg today.                   Created an application case in WMS. Updated ARRA and the                   other screens in ICES.  08/03/07  T49702  Received all resource information back and income for the                   Fakclient's IRA today. Completed form 2061. Updated the                   system with this information. KJ T49702  08/03/07  T49702  _____                   _____                   _____                   _____  NEXT TRAN: _____ PARMS: _____ </pre>
10.	<p>Under the COMMENTS section update with all the information that explains that an individual requested an IRA be completed. Include all information related to the resources used and any other information that may be helpful in case the individual ever applies for MCCA program benefits.</p> <p>After all comments are added, press <b>Enter</b>.</p>
11.	<p>Once you have pressed Enter, the following question will display:</p> <p><b>Do you want to update this (Y/N)? : y</b></p> <p>If all the comments that were added are correct and need to be added to the case record, press "Y" for yes. If the information should not be added to the case record, press "N" for no. However, since an IRA was requested and the information was updated in ICES, "N" should not be selected at this time.</p>
12.	<p>Return to WFMS and close the task. Retrieve the next available task.</p>


### 3.9.2.3 Independent Resource Assessment either Partially Received Documents or Not Received

If an individual does not return her information by the deadline of 20 days, then a follow-up request is sent giving the individual an additional thirty (30) days to submit the necessary documents/verifications. The following steps are taken when the information is incomplete or not returned.

Step	IRA Partially Received or Not Received
1.	In WFMS from the User Home page, retrieve the task for Solicited Document(s) Received. Select the task and the Task Home page will display.
2.	Follow the instructions in the Process Solicited Document Work Instructions. Refer to <a href="#">Section 3.11.5, Processing Solicited Documents &lt;insert hyperlink&gt;</a> . After following the instructions, return to this task and begin at Step 3.
3.	Review the documents that were returned. If any of the necessary verifications and/or forms required to complete the IRA request are missing, then proceed to Step 4.
4.	<p>In WFMS under the Case Home page select the <i>Pending Verification Checklist</i> from the left Navigation bar links.</p>  <p>After selecting all the items needed to finish processing the IRA and for which individual the information is needed, use the Send Notice Work Instructions (refer to <a href="#">Section 3.11.4, Sending Notices &lt;insert hyperlink&gt;</a>) to create correspondence to send to the individual.</p>

Step	IRA Partially Received or Not Received
5.	<p>Return to the Case Home page and select the <i>Notes</i> link from the left Navigation bar table.</p>  <p>The screenshot shows a vertical navigation bar with a blue header labeled 'navigation'. Below the header is a list of links, each preceded by a radio button. The links are: Home, Documents, Members, Addresses, Phone Numbers, Pending Verification Checklist, Data Collection Checklist, Second Party Review Checklist, Change Checklist, Correspondence, Notes (highlighted with a green circle), Asset/Trust Review, Benefit Recovery, and Tasks.</p>
6.	<p>On the Notes Home page, update the information regarding the IRA form and verifications having not been returned after 20 days of the initial request for an IRA.</p> <p>Also, include that a Pending Form was sent to the individual giving her an additional 30 days to turn in all information, and the information still needed to complete the IRA.</p> <p>Click Save.</p>  <p>The screenshot shows the 'Asset Trust Review Notes' form. At the top, there is a title 'Asset Trust Review Notes:' and a 'Help' button. Below the title is a text area containing the text: 'Trina requested an IRA be completed. She was given 20 days to turn in all needed verifications. These have not been received so a Pending Notice has been sent giving her an additional 30 days.' At the bottom of the form are 'Save' and 'Cancel' buttons.</p>
7.	<p>Return to the Task Home page and select <i>Close</i> the task.</p>  <p>The screenshot shows the 'Task Home' page. At the top, there is a title 'Task Home' and a 'Help' button. Below the title is a section labeled 'Options' which contains three links: 'Close Task' (highlighted with a green circle), 'Park Task', and 'Forward Task'.</p>


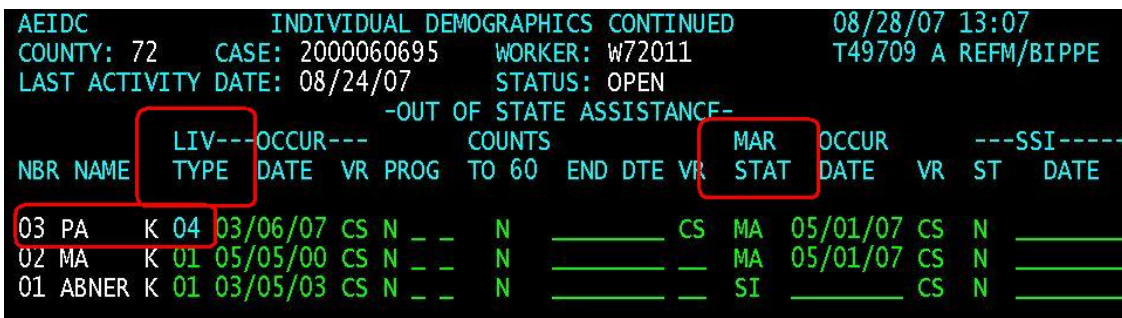
Step	IRA Partially Received or Not Received
8.	After the 30 days a task is generated, complete the Solicited Documents Not Received (refer to <a href="#">Section 3.11.5, Processing Solicited Documents &lt;insert hyperlink&gt;</a> ) work instructions. Once that process is complete, return to Step 10 in these instructions.
9.	<p>In WFMS from the Case Home page select the <i>Notes</i> link from the left Navigation bar.</p> 
10.	<p>On the Notes Home page, update the information regarding the pending verifications that were not returned; that the IRA cannot be completed at this time due to missing information; and, the individual is past the required time frame to allow the IRA to Pend.</p> 

Step	IRA Partially Received or Not Received
11.	Return to the Task Home page and select <i>Close</i> for this task. 
12.	Retrieve a new task from WFMS.

### 3.9.3 Medicare Catastrophic Coverage Act (MCCA)

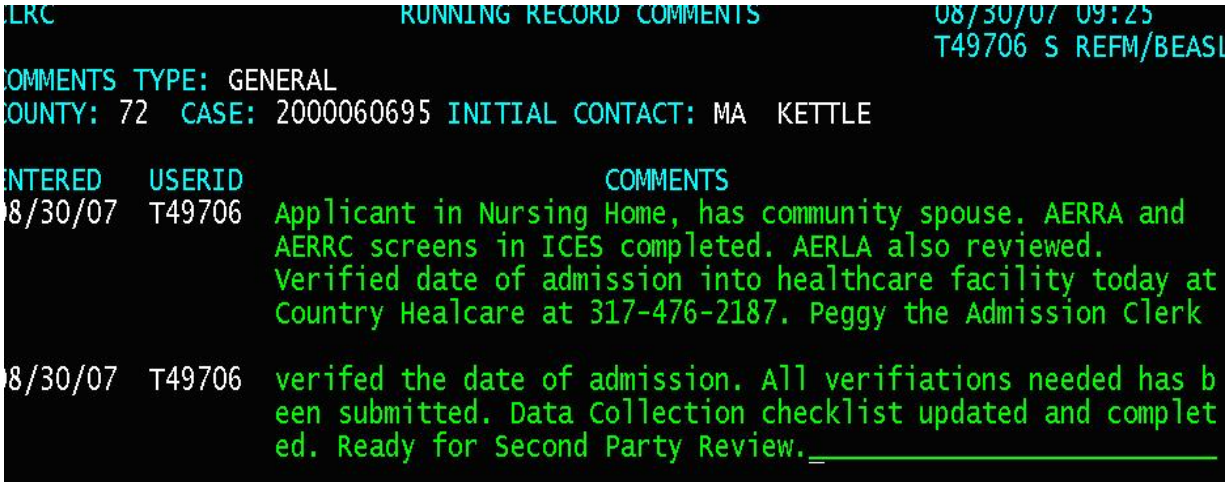
The Medicare Catastrophic Coverage Act addresses spousal impoverishment when one member of a married couple enters a health care facility. The spouse that resides in the institution is referred to as the institutionalized spouse; the spouse that remains at home is the community spouse. Special budgeting rules apply. Refer to the policy manual as needed. Refer to [Indiana Program Policy Manual – IPPM <insert hyperlink>](#).

MCCA case processing includes additional ICES screens such as AEIII, AERRA and AERRC. Other than the special budgeting, the case is entered in the same manner as any other case. These types of applications are processed by Workgroup 12.

Step	Medicare Catastrophic Coverage Act (MCCA)
1.	While processing a new application or an add-on application to a case, the information provided shows that the individual who is applying lives in a nursing home, and his spouse lives in the community.
2.	Confirm that there is one individual living in a nursing home and another living in the community by reviewing AEIDC in ICES using AEIDC in the NEXT TRAN field and the ICES Case Number in the PARMS field 
3.	From the LIV TYPE field determine that one individual lives in an institution (code 04) and that the other spouse lives in the community (code 01.) 

Step	Medicare Catastrophic Coverage Act (MCCA)
4.	<p>Review the information or update the information received during the Data-Gathering Interview on ICES screen AEIII, entering the nursing home information.</p> <pre> AEIII INSTITUTIONAL INFORMATION 08/30/07 13:29 COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49706 S REFM/BEA LAST ACTIVITY DATE: 08/28/07 STATUS: OPEN                (MA) DC  NBR  NAME  INSTITUTION  ---SPOUSAL ALLOCATION---   3  PA   K      TYPE      AMOUNT      SWITCH   03              0.00      S  (FS) IS THE INSTITUTION FOOD STAMP ELIGIBLE (Y/N/)? N (MA) PREADMISSION SCREENING R      DATE: 04/01/07 (MA) IS THE INSTITUTION MEDICAID CERTIFIED(Y/N/)? Y (MA) IS THIS INDIVIDUAL EXPECTED TO BE IN THE INSTITUTION AT LEAST 30 DAYS?                INSTITUTION NAME: Dasani Healthcare       BEGIN      END      ADDRESS: 809 State Highway 46       DATE      DATE 08032007      CITY/STATE/ZIP: IND IN 44444 </pre>
5.	<p>The resource screens for the institutional and community spouse display. These screens are AERRA, AERRC, etc.</p> <pre> AERRA RESOURCE ASSESSMENT 08/24/07 10:33 COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49709 A REFM/BIP LAST ACTIVITY DATE: 08/24/07 STATUS: OPEN  DATE OF FIRST ADMISSION: 03/06/07 SPOUSAL SHARE COMM. SPOUSE STANDARD USA                                300                               20328 S  VEHICLES: OWNER DC  NBR  YEAR  MAKE  MODEL  JOINT? W/COMMUNITY EQUITY   02  1980  HONDA  CIVIC  N      SPOUSE? AMOUNT OWNED V   02  1980  HONDA  CIVIC  N      SPOUSE? AMOUNT OWNED V   03  1980  HONDA  CIVIC  N      SPOUSE? AMOUNT OWNED V  LIQUID RESOURCES: OWNER DC  NBR  TYPE  ACCT #  JOINT  W/COMMUNITY AMOUNT AVAILABLE? V   02  SA  77777  Y      N      SPOUSE? OWNED  N      C   02  CA  CASH  Y      N      SPOUSE? OWNED  Y      C   03  CH  444  Y      Y      SPOUSE? OWNED  Y      C  AERRC RESOURCE ASSESSMENT - CONTINUED 08/28/07 13:07 COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49706 S REFM/BEA LAST ACTIVITY DATE: 08/24/07 STATUS: OPEN  LIFE INSURANCE: DC  NBR  TYPE  POLICY#  BENEFICIARY  FACE VALUE  CSV  IS INSURED               02  WL  7  F  5000.00  200.00  Y               02  WL  7  F  5000.00  200.00  Y               03  WL  7  F  5000.00  200.00  Y  REAL PROPERTY/ INCOME W/COMMUNITY EQUITY PROPERTY DC NBR TYPE PRODUCING? JOINT? SPOUSE? AMOUNT OWNED AVAILABLE? </pre>

Step	Medicare Catastrophic Coverage Act (MCCA)																																																						
6.	<p>Complete the updates to the other resource screens in the ICES case. Make sure to update the correct information to AERRQ, AERLA, AERLI, AERLS, AERRP, etc.</p> <div> <p>AERRQ RESOURCE QUESTIONS 06/28/07 12:38  COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49709 A REFM/BIPPE  LAST ACTIVITY DATE: 06/28/07 STATUS: OPEN  DOES ANYONE IN YOUR HOUSEHOLD HAVE ANY OF THE FOLLOWING LIQUID RESOURCES?</p> <table border="0"> <tr> <td>CA - CASH</td> <td>(Y/N/?)</td> <td>N</td> <td>NH - NURSING HOME ACCOUNT</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>SA - SAVINGS/CHRISTMAS CLUB</td> <td>(Y/N/?)</td> <td>N</td> <td>IR - IRA</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>SC - SAVINGS CERTIFICATE/CD</td> <td>(Y/N/?)</td> <td>N</td> <td>KE - KEOGH PLAN</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>CH - CHECKING ACCOUNT</td> <td>(Y/N/?)</td> <td>N</td> <td>CU - CREDIT UNION</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>TR - TRUST FUND/ESTATE</td> <td>(Y/N/?)</td> <td>Y</td> <td>ON - OTHER NON-EXEMPT</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>ST - STOCKS</td> <td>(Y/N/?)</td> <td>N</td> <td>FA - PRE-PAID FUNERAL AGRMT</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>BD - BONDS</td> <td>(Y/N/?)</td> <td>N</td> <td>FT - FUNERAL TRUST</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>BA - BURIAL ACCOUNT</td> <td>(Y/N/?)</td> <td>N</td> <td>PM - PLAN/SELF SUPT-MED/SSI</td> <td>(Y/N/?)</td> <td>N</td> </tr> <tr> <td>RP - RETIREMENT/PENSION FUND</td> <td>(Y/N/?)</td> <td>N</td> <td>PS - PLAN/SELF SUP-SSI ONLY</td> <td>(Y/N/?)</td> <td>N</td> </tr> </table> </div> <div> <p>AERRP REAL/PERSONAL PROPERTY RESOURCE 08/30/07 13:33  COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49706 S REFM/B  LAST ACTIVITY DATE: STATUS: OPEN SSN:  NBR --NAME----- DC TYPE BEGIN-DATE END-DATE AV? VR JOINT OWNED? OCCUR  03 HO 03011999 n hc y  MARKET VALUE VR AMOUNT OWED VR EQUITY EO? INSIG</p> </div> <div> <p>AERLS Record Macro? SUM RESOURCES 08/30/07 13:37  COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49706 S REFM/B  LAST ACTIVITY DATE: STATUS: OPEN  OWNER NUMBER: 02 NAME: SSN:  DC RECEIVED DATE AMOUNT VR LUMP SUM TYPE DESCRIPTION  01012007 2000.00 hc ot  END DATE OF INELIGIBILITY: REASON:</p> </div> <p>(AFDC, MA) DOES ANYONE OWN A LIFE INSURANCE POLICY? (Y/N/?) Y</p> <div> <p>AERLI (AFDC/MA)LIFE INSURANCE RESOURCES 08/30/07 13:42  COUNTY: 72 CASE: 2000060695 WORKER: W72011 T49706 S REFM/B  LAST ACTIVITY DATE: STATUS: OPEN  - OWNER - INS -----COVERAGE-----  NBR NAME DC TYPE BEGIN DATE END DATE NAME AND ADDRESS OF INSURER  03 w1 10231978 MetLife  1234 Red Square  New York NY 00897  POLICY NUMBER JOINTLY OWNED? OCCUR DATE BENEFICIARY OCCUR DATE VR  678908765 n o hc  FACE VALUE OCCUR DATE VR CASH SURRENDER VALUE OCCUR DATE VR</p> </div>	CA - CASH	(Y/N/?)	N	NH - NURSING HOME ACCOUNT	(Y/N/?)	N	SA - SAVINGS/CHRISTMAS CLUB	(Y/N/?)	N	IR - IRA	(Y/N/?)	N	SC - SAVINGS CERTIFICATE/CD	(Y/N/?)	N	KE - KEOGH PLAN	(Y/N/?)	N	CH - CHECKING ACCOUNT	(Y/N/?)	N	CU - CREDIT UNION	(Y/N/?)	N	TR - TRUST FUND/ESTATE	(Y/N/?)	Y	ON - OTHER NON-EXEMPT	(Y/N/?)	N	ST - STOCKS	(Y/N/?)	N	FA - PRE-PAID FUNERAL AGRMT	(Y/N/?)	N	BD - BONDS	(Y/N/?)	N	FT - FUNERAL TRUST	(Y/N/?)	N	BA - BURIAL ACCOUNT	(Y/N/?)	N	PM - PLAN/SELF SUPT-MED/SSI	(Y/N/?)	N	RP - RETIREMENT/PENSION FUND	(Y/N/?)	N	PS - PLAN/SELF SUP-SSI ONLY	(Y/N/?)	N
CA - CASH	(Y/N/?)	N	NH - NURSING HOME ACCOUNT	(Y/N/?)	N																																																		
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Step	Medicare Catastrophic Coverage Act (MCCA)
7.	<p>Run AEABC and determine if any additional verification is needed to complete the application.</p> <p>Use the Process an Application Work Instructions (refer to <a href="#">Section 3.5, Processing an Application Part I and Part II &lt;insert hyperlink&gt;</a>) for processing the new application and/or add-on application, or if this is a re-determination, use the Process a Re-determination Work Instructions (refer to <a href="#">Section 3.7, Processing a Re-determination &lt;insert hyperlink&gt;</a>) to complete processing.</p>
8.	<p>Update the case record comments in CLRC by either entering 'CLRC' into the NEXT PARMS field or the ICES Case Number in the PARMS field or use <b>PF4</b> from the ICES screen that is currently displayed.</p> <p>Document in CLRC.</p> 
9.	If all the information has been provided and verified, run AEABC.
10	If the household has Assets and/or Trusts that are beyond the scope of the WG 12 ESA's knowledge, go to Tasks under Left Navigation, and create a user-selected task for Asset/Trust Review Requested. This task would be processed by an ESA in WG 4 from the Asset/Trust work queue.
11	<p>Close the task, and retrieve another task from the queue.</p> 